



Item No. 17

Meeting Date Wednesday 26th October 2022

**Glasgow City
Integration Joint Board
Finance, Audit and Scrutiny Committee**

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Risk Management Quarterly Update (Q1 2022/23)

Purpose of Report:

The purpose of this report is to provide an update to the IJB Finance, Audit and Scrutiny Committee on the status of the risk registers being maintained within the Glasgow City Health and Social Care Partnership.

This report covers the review carried out in respect of changes to risk in Quarter 1 (Q1) (1 April 2022 to 30 June 2022).

Background/Engagement:

The risk registers maintained within the Partnership are regularly reviewed and updated by the relevant risk owners and risk managers and reported to this Committee on a quarterly basis.

Governance Route:

The matters contained within this paper have been previously considered by the following group(s) as part of its development.

- HSCP Senior Management Team
- Council Corporate Management Team
- Health Board Corporate Management Team
- Council Committee
- Update requested by IJB
- Other
- Not Applicable

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Recommendations:	The IJB Finance, Audit and Scrutiny Committee is asked to: a) note this report; b) note the highest risks on the Integration Joint Board, Social Care and Health Risk Registers at the end of Quarter 1 2022/23; and c) approve the proposed future reporting arrangements set in in Section 5 of this report.
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Relevance to Integration Joint Board Strategic Plan:

Risks to the delivery of the Strategic Plan are identified in the IJB Risk Register

Implications for Health and Social Care Partnership:

Reference to National Health & Wellbeing Outcome:	The maintenance of a risk management framework within the Partnership aligns with Outcome 9 (Resources are used effectively and efficiently in the provision of health and social care services).
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Personnel:	Risks with a potential impact on staff are identified in the risk registers.
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Carers:	N/A
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Provider Organisations:	Risks in relation to Provider Organisations are identified in the risk registers.
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Equalities:	N/A
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Fairer Scotland Compliance:	N/A
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Financial:	Risks with a potential financial impact are identified in the risk registers.
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Legal:	Risks with a potential financial impact are identified in the risk registers.
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Economic Impact:	N/A
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Sustainability:	N/A
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Sustainable Procurement and Article 19:	N/A
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Risk Implications:	Risks to the delivery of the Strategic Plan are identified in the IJB Risk Register
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Implications for Glasgow City Council:	Risk implications to Glasgow City Council are detailed in the Social Care risk register
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Implications for NHS Greater Glasgow & Clyde:	Risk implications to Glasgow City Council are detailed in the Social Care risk register
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1. Purpose

- 1.1. The purpose of this report is to provide an update to the IJB Finance, Audit and Scrutiny Committee on the status of the risk registers being maintained within the Glasgow City Health and Social Care Partnership.
- 1.2. This report covers the review carried out in July 2022 in respect of changes to risk in the quarter from 1 April 2022 to 30 June 2022.

2. Integration Joint Board Risk Register

- 2.1. The Integration Joint Board Risk Register is maintained, updated and reported in line with the Glasgow City IJB Risk Management Policy.
- 2.2. There were no existing risks where the current risk level increased or decreased during Q1.
- 2.3. There were 5 risks added to the register during Q1.
 - *Ref 2032: Impact of Budget & Spending Review.* This risk has been added in relation to the Scottish Governments Budget and Spending Review for the financial years of 2023/2024 to 2026/2027. There is risk that this may have impact on GHSCP's financial position and delivery of services and strategic priorities. This has been added to the register as 'Very High'.
 - *Ref 2033: Impact of inflationary pressures.* This risk has been added as rising inflation is likely to have detrimental impact on the financial position. This risk has been added to the register as 'High'.
 - *Ref 2035: Medium to long term financial implications of ongoing COVID costs.* This risk has been added as the Scottish Government funding related to the COVID pandemic ends in March 2023. There is risk of adverse medium to long term financial implications of ongoing costs related to COVID. This risk has been added to the register as 'High'.
 - *Ref 2034: Resources required for National Care Service.* The Scottish Government have proposed to design and establish a National Care Service. There is risk that the Partnership cannot support the volume of resource required for the effective engagement with this proposal. This risk has been added to the register as 'High'.
 - *Ref 2037: Impact of National Care Service on recruitment & retention.* This risk has been added as there is a level of uncertainty around recruitment as well as staff retention in relation to proposal from the Scottish Government to establish a National Care Service. This risk has been added to the register as 'High'.

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- 2.4. There were 2 risks removed from the register during Q1.
- *Ref 0513: Resources required for integration.* This risk was closed and replaced with the new risk 2037.
 - *Ref 0942: Financial Implications of responding to COVID 19.* This risk has been closed and replaced with a new risk 2035.
- 2.5. At the conclusion of the July 2022 review there were **13** live risks on the register, with **2** risk having a current risk level of 'Very High', **8** risks with a risk level of 'High', **2** risk with a risk level of 'Medium' and **1** risk with a risk level of 'Low'.
- 2.6. All risks with a current risk level of 'Very High' or 'High' are reviewed every quarter, and are shown in Appendix A.
- 2.7. Risks with a current risk level of 'Medium' or 'Low' can be reviewed less regularly in line with the risk management policy. All of these were reviewed this quarter.
- 2.8. The next quarterly review of the IJB Risk Register will be carried out in October 2022.

3. Social Care Risk Register

- 3.1. The Social Care Risk Register is maintained, updated, and reported in line with the Glasgow City Council Risk Management Policy and Guidance. It should be noted that the Council assesses risks with a score of 15+ as Very High whereas the IJB assesses risks with a score of 20+ as Very High, therefore risks assessed as Very High by the Council may not be by the IJB and NHS GGC.
- 3.2. There were 7 new risks added to the register in Q1.
- *Ref 2026: Delay to Eclipse go live.* This has been added due to the risk of the planned go-live date for Eclipse being delayed. This risk has been added to the register as 'Very High'.
 - *Ref 2041: Budget pressures in homelessness services.* This risk has been added as there is a likelihood of an overspend in the Homelessness budget in 2022 -23 and potentially for the medium term. This overspend is specifically related to provision of temporary accommodation. This risk has been added to the register as 'Very High'.
 - *Ref 2027: Impact of Budget & Spending Review.* This risk has been added to the register as 'Very High'. This risk has also been added to the IJB risk register as Risk 2032. Please refer to section 2.3 in the report.
 - *Ref 2029: Impact of inflationary pressures.* This risk has been added to the register as 'Very High'. This risk has also been added to the IJB risk register as Risk 2033. Please refer to section 2.3 in the report.
 - *Ref 2030: Medium to long term financial implications of ongoing COVID costs.* This risk has been added to the register as 'Very High'. This risk

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has also been added to the IJB risk register as Risk 2035. Please refer to section 2.3 in the report.

- *Ref 2028: Resources required for National Care Service.* This risk has been added to the register as 'Very High'. This risk has also been added to the IJB risk register as Risk 2034. Please refer to section 2.3 in the report.
- *Ref 2036: Impact of National Care Service on recruitment & retention.* This risk has been added to the register as 'Very High'. This risk has also been added to the IJB risk register as Risk 2037. Please refer to section 2.3 in the report.

3.3. There have been no risks removed from this Risk register during Q1.

3.4. No risks on this register have increased or decreased during Q1.

3.5. At the conclusion of the July 2022 review there were **44** 'live' risks on the register, with **23** risks having a current risk level of 'Very High, **12** risks with a risk level of High, **6** with a risk level of Medium and **3** risks with a risk level of 'Low'.

3.6. All risks with a current risk level of 'Very High' or 'High' are reviewed every quarter by the HSCP Senior Management Team.

3.7. Items with a current risk level of 'Medium' or 'Low' can be reviewed less regularly in line with the risk management policy. All of these items were reviewed this quarter.

3.8. The next quarterly review of the Social Care Risk Register is scheduled to be carried out in October 2022.

4. Health Risk Register

4.1. The Glasgow City Health Risk Register is currently maintained, updated and reported in line with the NHS GGC Risk Management Policy, and collates the most significant risks as identified in locality and service risk registers. The register was last reviewed in June 2022.

4.2. There was 1 risk added to the Risk register during Quarter 1.

- *Ref 3298: Mental Health Data Quality.* New risk added as there is a requirement for a new data team to improve data cleansing, analysis and linkage. This was raised as a 'High' risk on the register.

4.3. There were 2 risks removed from the Risk register during Quarter 1.

- *Ref 3016: Brexit Supplies - (Addictions Services).* This was raised as a 'Very High' risk. The risk was agreed to be removed as the service has fully mitigated this risk and no further issues have been raised.
- *Ref 3009: Brexit Supplies - (Mental Health Services).* This risk was closed due to no further issues or concerns reported.

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- 4.4. There was 1 risk where the current risk level increased during Quarter 1.
- *Ref 2350: Consistent high prisoner numbers.* This risk has increased from 'Moderate' to 'Very High'. The service is in constant review of resources and duties by management team due to the increase in prisoner numbers.
- 4.5. There was 1 risk where the current risk level decreased during Quarter 1.
- *Ref 3010: Risk of maintaining appropriate contact with service users due to staffing shortages.* This risk has decreased from 'Very High' to 'Moderate'. There are now Bank staff in place and current staff are being offered additional hours and overtime to support the service needs.
- 4.6. All risks with a current risk level of 'Very High' or 'High' are reviewed every quarter by the HSCP Senior Management Team.
- 4.7. The next quarterly review of the Health Risk Register is scheduled to be carried out in October 2022.

5. Future Reporting

- 5.1. The current version of the Glasgow City IJB Risk Management Policy & Strategy states that the Finance Audit & Scrutiny Committee should receive a report on strategic risks and "key operational risks" every quarter.
- 5.2. The risk policy is clear that the partner bodies are responsible for the management of operational risks and that "key operational risks" are those where there are impacts across multiple service areas or, because of interdependencies, require more strategic leadership. These key operational risks would be identified by the Senior Management Team as part of its own quarterly risk management review.
- 5.3. Since 2018 the Committee has received a quarterly report that includes all operational risks (from both Council and NHS services within the Partnership) with a risk level of High or Very High. This often includes detail of frontline operational risks to individual services or sites not within the definition of key operational risks as set out in the IJB policy. The partner bodies do not publish these risks as part of its own risk management reporting procedures however they are published as part of this Committee's governance arrangements.
- 5.4. In order to ensure this Committee receives relevant risk management reports that adhere to the IJB's risk policy it is proposed that future reports would cover the IJB's risk register (strategic risks) and key operational risks identified by the Senior Management Team that this Committee should be aware of and may consider appropriate for escalation to the IJB's strategic risk register.

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- 5.5. This proposal would also bring the Glasgow City IJB's risk reporting arrangements in line with the other IJB's across Greater Glasgow & Clyde and address the inconsistency of detailed operational risks being published by this Committee but not by the partner bodies.
- 5.6. If this proposal is accepted, this would come in affect for the Quarter 2 risk management update report scheduled to be presented to this Committee at its meeting on 14th December 2022.

6. Recommendations

- 6.1. The IJB Finance, Audit and Scrutiny Committee is asked to:
- a) note this report;
 - b) note the current highest risks on the Integration Joint Board, Social Care and Health Risk Register; and
 - c) approve the proposed future reporting arrangements set in in Section 5 of this report.

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IJB Risk Register (July 2022)													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level			Control Actions	Current Risk Level			Latest Update		
				Consequence	Likelihood	Risk Rating		Risk Level	Consequence	Likelihood		Risk Rating	Risk Level
524	Level of savings required in 2019/20 and beyond	<p>RISK: Inability to deliver appropriate level of essential services due to required level of savings</p> <p>CAUSE: Required level of savings in the Budget Service Plan in 2019/20 and beyond</p> <p>EFFECT: Unable to meet demand for services, failing to ensure safety and prevent harm to service user, failing to meet statutory requirements, failing to deliver part or all of the Strategic Plan</p>	Sharon Wearing	4	5	20	Very High	<ul style="list-style-type: none"> Financial position monitored on ongoing basis by SMT, ITB, IJB Finance and Audit committee and full IJB Transformation Programme for the HSCP in place, with a range of programmes identified to support delivery of Strategic Plan within allocated budgets HSCP will actively engage with Partner Bodies in budget planning process for 2019-20 and beyond identifying dependencies and risks associated with any proposals. Impact of responding to COVID-19 on plans for savings and delivery of transformation programmes will continue to be monitored. Medium Term financial forecasting also undertaken to enable requirements for savings to be assessed over the medium term and to inform planning assumptions. A financial tracker on covid-19 related expenditure (as part of the Local Mobilisation Plan) is updated on a 4 weekly basis, and submitted to the Scottish Government every 4 weeks. 	4	5	20	Very High	July 2022 - No change to risk.
2032	Impact of Budget & Spending Review	<p>RISK: The Scottish Government's Budget & Spending Review (23/24 to 26/27) will significantly impact on the HSCP's financial position and delivery of services/strategic priorities</p> <p>CAUSE: Scottish Govt budget set prior to increased inflation projection, Health and social care spend proposed to rise by 2.75% per annum, which will need to cover inflation pressures including pay uplifts, impact of COVID recovery, existing policy commitments; anticipated increased savings targets required to deliver balanced budget (high level estimate of 5% per annum equivalent to £32m per annum)</p> <p>EFFECT: Expenditure will need to be reduced to meet all commitments; re-prioritising business cases for capital projects in development; impact on service delivery, staffing levels, financial position. Potential impact on delivery of strategic priorities.</p>	Sharon Wearing	4	5	20	Very High	<ul style="list-style-type: none"> Executive team commenced developing a high level financial forecast to determine the scale of the challenge. Options available as part of the response will be developed and reported via Integration Transformation Board Continued engagement with the Scottish Government and Partner Bodies on financial planning assumptions and potential impact of funding availability Proposals subject to future reporting to the Integration Joint Board 	4	5	20	Very High	July 2022 - New risk added.

IJB Risk Register (July 2022)													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level			Control Actions	Current Risk Level			Latest Update		
				Consequence	Likelihood	Risk Rating		Risk Level	Risk Rating	Risk Level			
512	Delivery of Strategic Plan within budget	<p>RISK: The IJB is unable to budget within allocated resources</p> <p>CAUSE: Cost of delivery is higher than budgeted resources made available</p> <p>EFFECT: The IJB is unable to deliver on the Strategic Plan</p>	Sharon Wearing	4	5	20	Very High	<ul style="list-style-type: none"> The Integration Scheme details the actions to be taken in the event of this and furthermore the contingency arrangements should parent bodies be unable/unwilling to provide additional funding Transformation Programme for the HSCP in place, with a range of programmes identified to support delivery of Strategic Plan within allocated budgets Governance / reporting mechanisms for Transformation Programmes are in place Financial position monitored on ongoing basis by SMT, IJB Finance and Audit committee and full IJB A Medium Term Financial Outlook is also completed which assesses the financial resources required to deliver the strategic plan whilst delivering financial balance for the IJB The impact of responding to COVID-19 on delivery of the Strategic Plan will continue to be assessed. As part of the business continuity management response to the covid-19 pandemic the HSCP has established additional governance arrangements to ensure senior management retain appropriate oversight and decision making capacity. As well as existing SMT and Core Leadership arrangements, the HSCP has increased the frequency of Executive Management meetings (initially to daily, now twice weekly) and has expended membership of this group to include key officers. A Local Resilience Management Team was established at the beginning of lockdown as the escalation point for operational issues within the HSCP, and this included representation from Trade Unions and Staffside. As the response moved to recovery planning the LRMT was replaced by the Operational Recovery Group. This group reviews and approves all recovery plans for services and 	4	4	16	High	July 2022 - No change to risk.
934	Deliverability of Primary Care Improvement Plan (PCIP)	<p>RISK: Failure to deliver transformation of Primary Care services as specified in the Primary Care Improvement Plan (PCIP)</p> <p>CAUSE: Affordability, shortage of resources (qualified staff, suitable accommodation), lack of appropriate digital solution to support plan, unable to maintain sustainability, unable to quantify evidence of impact, lack of capacity of general practice to engage with PCIP because of problems with staffing and high levels of demand.</p> <p>EFFECT: Impact on the delivery of the IJB's Strategic Plan and priorities resulting in negative impact on service users and patients and possible reputational or financial impact to the IJB.</p>	Susanne Millar	4	4	16	High	<ul style="list-style-type: none"> A number of measures being taken to mitigate the lack of qualified staff include: <ul style="list-style-type: none"> Phasing recruitment Making local vacancy approval processes more efficient Developing alternative skill mix models Recruiting into trainee posts and supporting less experienced staff to obtain necessary experience. Supporting GP capacity to engage with PCIP: Glasgow City HSCP to work with wider system to identify how we can support sustainability of general practice Quantifying impact to be measured through PCIP Evaluation 	4	4	16	High	July 2022 - No change to risk.
2033	Impact of inflationary pressures	<p>RISK: There is a risk that rising inflation will have detrimental impact on the financial position</p> <p>CAUSE: Inflation currently 9%, predicted to reach 10-11% by end of 2022; increasing costs for the HSCP from rising prices for food, fuel, supplies and equipment plus consequential (e.g. public sector pay award)</p> <p>EFFECT: Detrimental impact on financial position</p>	Sharon Wearing	4	4	16	High	<ul style="list-style-type: none"> Ongoing monitoring of financial impact of inflation of service costs Consider options for funding as part of wider financial forecasting of financial position for IJB, this could include the use of reserves Budget setting process for 23/24 	4	4	16	High	July 2022 - New risk added.

IJB Risk Register (July 2022)													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level				Control Actions	Current Risk Level				Latest Update
				Consequence	Likelihood	Risk Rating	Risk Level		Consequence	Likelihood	Risk Rating	Risk Level	
2035	Medium to long term financial implications of ongoing COVID costs	<p>RISK: There is risk of adverse medium to long term financial implications of ongoing costs related to COVID</p> <p>CAUSE: Government funding related to the COVID pandemic ends in March 2023 and there remains high likelihood of continual additional costs due to COVID particularly in those service areas where enhanced guidance and restrictions remain in place (e.g. care homes), including PPE, Infection Control, impact of increased staff absences due to COVID</p> <p>EFFECT: All additional costs related to COVID from 23/24 onwards will need to be covered by existing budgets, adverse impact on financial position, impact on funding available for delivery of core services and strategic priorities of the IJB</p>	Sharon Wearing	4	4	16	High	<ul style="list-style-type: none"> All costs associated with responding to COVID are being tracked COVID Exit Strategy is actively monitored via the Integration Transformation Board and the HSCP Executive Group Impact on 2023/24 will consider as part of financial planning and budget setting for 2023/24. 	4	4	16	High	July 2022 - New risk added. Risk 942 has been closed and replaced with this new risk about the medium to long term implications of ongoing COVID costs.
514	Service delivery model uncertainty	<p>RISK: Uncertainty around future service delivery models</p> <p>CAUSE: Uncertainty arising from COVID-19</p> <p>EFFECT: Resistance, delay or compromise resulting in necessary developments or potential improvement opportunities not being fulfilled</p>	Susanne Millar	3	4	12	High	<ul style="list-style-type: none"> High-level strategic vision articulated through the 2019-22 Strategic Plan IJB are notified of proposed transformation projects and updates on approved transformation projects as a matter of routine. Acceptance that ongoing challenges of both organisations mean standstill is not a viable option As part of the business continuity management response to the covid-19 pandemic the HSCP has established additional governance arrangements to ensure senior management retain appropriate oversight and decision making capacity. As well as existing SMT and Core Leadership arrangements, the HSCP has increased the frequency of Executive Management meetings (initially to daily, now three times weekly) and has expanded membership of this group to include key officers. A Local Resilience Management Team was established at the beginning of lockdown as the escalation point for operational issues within the HSCP, and this included representation from Trade Unions and Staffside. As the response moved to recovery planning the LRMT was replaced by the Operational Recovery Group. This group reviews and approves all recovery plans for services and again has Trade Union and Staffside representation. Each care group has established Contingency/Emergency Planning meetings with their senior staff which meet regularly. All additional emergency governance arrangements that have been put in place are in line with, and engage with, emergency command and control structures that have been established in NHS GGC and Glasgow City Council. 	3	4	12	High	July 2022 - No change to risk.

IJB Risk Register (July 2022)													
Ref	Title	Description of Risk	Risk Owner	Initial Risk Level			Control Actions	Current Risk Level			Latest Update		
				Consequence	Likelihood	Risk Rating		Risk Level	Consequence	Likelihood		Risk Rating	Risk Level
2034	Resources required for National Care Service	<p>RISK: There is a risk the organisation cannot support the volume of resource required for the effective engagement with the Scottish Government proposal to design and establish a National Care Service</p> <p>CAUSE: Staff and key individuals with existing operational roles and responsibilities are diverted to National Care Service activities; ambitious timescales for the design and implementation of the NCS</p> <p>EFFECT: Existing operational priorities and delivery are delayed or compromised; potential impact on delivering strategic priorities</p>	Sharon Wearing	4	3	12	High	<ul style="list-style-type: none"> •Workload and resource monitoring continues to be undertaken across the partnership (for example, through one-to-one supervision) •Ongoing review of support (including work undertaken and resources being used) required for NCS activity •NCS Project Support proposal has been approved by the Executive Team •Governance structure established to ensure engagement and oversight of NCS activity and demand, including HSCP Executive group and GCC oversight group chaired by the LA Chief Executive 	4	3	12	High	
2037	Impact of National Care Service on recruitment & retention	<p>RISK: Health and social care recruitment and retention is adversely affected by the proposal to establish a National Care Service</p> <p>CAUSE: Uncertainty about the scope of the National Care Service (e.g. future consultation on inclusion of children and justice services); uncertainty about extent of transfer of local authority and NHS resources to a National Care Service (including transfer of staff)</p> <p>EFFECT: Existing and potential health and social care staff may opt to leave or not join the service given uncertainty about future employer and terms & conditions; existing recruitment and retention pressures will be exacerbated leading to further detrimental impact on delivery of services; financial impact; failure to deliver</p>	Sharon Wearing	4	3	12	High	<p>Future control and mitigation actions to include</p> <ul style="list-style-type: none"> •Communication strategy is vital to keep employees up to date on the employment position and must be used to allay any concerns on future employment. •Information on how pay and pension will work must be issued as early as possible •Liaison with Trade Unions •Specific Trade Union Forum on NCS should be setup •Strict monitoring of leavers will be required to assess any increased level of leavers, this must include ensuring exit interviews occur and the information from that fed into system •Ensuring vacancies do not build up •Require recruiting before people leave •Succession planning processes require to be created in the event that management positions are more adversely affected. 	4	3	12	High	July 2022 - New risk added. Risk 513 has been closed and replaced with this new risk about resources required to facilitate development and implementation of National Care Service.
1731	Delivery of 2021-22 Savings Targets	<p>RISK: Unable to deliver 2021-22 savings targets</p> <p>CAUSE: Due to key resources being diverted to responding to COVID-19 and the impact COVID-19 is also having on demand, areas targeted for delivery of savings in 2021-22 are now at risk</p> <p>EFFECT: Savings targets will not be deliverable resulting in overspends occurring in 2021-22 and beyond</p>	Sharon Wearing	4	5	20	Very High	<ul style="list-style-type: none"> • Financial position monitored on ongoing basis by SMT, ITB, IJB Finance and Audit committee and full IJB • Delivery of savings will continue to be tracked and monitored by the Transformation Programme Board • HSCP will actively engage with the Scottish Government on the impact of responding to COVID-19 • Impact of responding to COVID-19 on plans for savings and delivery of transformation programmes will continue to be monitored 	2	5	10	High	July 2022 - No change to risk.